



Claire McCaskill  
Missouri State Auditor

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January 2006

## JUDICIARY

# Office of State Courts Administrator



Office Of The  
State Auditor Of Missouri  
Claire McCaskill

January 2006

**The following areas of concern were noted in our audit of the Office of State Courts Administrator.**

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The Office of State Courts Administrator (OSCA) lacks a formal long-range comprehensive plan of costs related to the court automation program. A formal long-range plan should be developed and updated as necessary. This plan should be provided to the General Assembly for consideration during the overall budgeting process.

- The OSCA has not formally documented the estimated long-range maintenance, repair, and upgrade costs of court automation once the Justice Information System (JIS) and Juvenile Management System (JMS) are implemented in all Missouri circuit courts. Implementation of these systems is expected to be completed by June 30, 2007.
- As a result of a federal mandate related to the reporting of Commercial Driver's License convictions, the OSCA is currently pursuing implementation of an integrated case management system in pilot municipal courts. The OSCA's budget request for the year ended June 30, 2006, indicates failure to comply with the mandate by September 30, 2005, would result in the annual loss of five percent of all Federal Aid Highway Funds beginning October 1, 2007, and ten percent each subsequent year. The budget request further provides, "...this translates to a loss of \$44 million in Federal Aid Highway Funds by fiscal year 2010". The costs associated with implementation of the integrated case management system in pilot courts should be used to develop a long-range plan, including cost estimates of implementing and maintaining the system in municipal courts statewide. If it is determined that implementation in municipal courts is cost-effective and necessary, since Federal Aid Highway Funds are at risk, the OSCA should work with the General Assembly and the Missouri Department of Transportation (MoDOT) to investigate funding options.

Our report also notes that although certain aspects of contract requirements are monitored, the OSCA has not routinely monitored the receipt and disbursement functions of the Fine Collection Center (FCC) contractor. During the year ended June 30, 2005, the FCC collected approximately \$11 million. Formal monitoring procedures of receipts and disbursements should be developed, performed on a routine basis, and results documented.

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YELLOW SHEET

OFFICE OF STATE COURTS ADMINISTRATOR

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## STATE AUDITOR'S REPORT



**CLAIRE C. McCASKILL**  
**Missouri State Auditor**

Members of the Supreme Court of Missouri  
and  
Michael Buenger, State Courts Administrator  
Jefferson City, MO 65102

We have audited the Office of State Courts Administrator. The scope of this audit included, but was not necessarily limited to, the years ended June 30, 2005 and 2004. The objectives of this audit were to:

1. Review internal controls over significant management and financial functions.
2. Review compliance with certain legal provisions.
3. Evaluate the economy and efficiency of certain management practices and operations.

Our methodology to accomplish these objectives included reviewing minutes of meetings, written policies, financial records, and other pertinent documents; interviewing various personnel of the office, as well as certain external parties; and testing selected transactions.

In addition, we obtained an understanding of internal controls significant to the audit objectives and considered whether specific controls have been properly designed and placed in operation. We also performed tests of certain controls to obtain evidence regarding the effectiveness of their design and operation. However, providing an opinion on internal controls was not an objective of our audit and accordingly, we do not express such an opinion.

We also obtained an understanding of legal provisions significant to the audit objectives, and we assessed the risk that illegal acts, including fraud, and violations of contract, grant agreement, or other legal provisions could occur. Based on that risk assessment, we designed and performed procedures to provide reasonable assurance of detecting significant instances of noncompliance with the provisions. However, providing an opinion on compliance with those provisions was not an objective of our audit and accordingly, we do not express such an opinion.

Our audit was conducted in accordance with applicable standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and included such procedures as we considered necessary in the circumstances.

The accompanying History, Organization, and Statistical Information is presented for informational purposes. This information was obtained from the office's management and was not subjected to the procedures applied in the audit of the office.

The accompanying Management Advisory Report presents our findings arising from our audit of the Office of State Courts Administrator.

A handwritten signature in black ink, reading "Claire McCaskill". The signature is fluid and cursive, with the first name "Claire" and last name "McCaskill" clearly distinguishable.

Claire McCaskill  
State Auditor

October 13, 2005 (fieldwork completion date)

The following auditors participated in the preparation of this report:

Director of Audits:	Kenneth W. Kuster, CPA
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	Jason Ashley
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MANAGEMENT ADVISORY REPORT -  
STATE AUDITOR'S FINDINGS

OFFICE OF STATE COURTS ADMINISTRATOR  
MANAGEMENT ADVISORY REPORT -  
STATE AUDITOR'S FINDINGS

<b>1.</b>	<b>Court Automation Program</b>
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The Office of State Courts Administrator (OSCA) lacks a formal long-range comprehensive plan of costs related to the court automation program. During our review we noted the following instances in which long-range estimates of costs would be beneficial:

- A. The OSCA has not formally documented the estimated long-range maintenance, repair, and upgrade costs (personal service and expense and equipment) of court automation once the Justice Information System (JIS) and Juvenile Management System (JMS) are implemented in all Missouri circuit courts. OSCA management indicated implementation of these systems is expected to be completed during the year ended June 30, 2007. Currently, monies are appropriated each year from the state's General Revenue Fund and the Crime Victims Compensation Fund to sustain such costs in the courts which are already automated.
- B. The OSCA is currently pursuing implementation of the integrated case management system in pilot municipal courts. Based upon actual costs associated with implementation and maintenance of the system in circuit courts, implementation in municipal courts statewide will require a significant financial commitment by the state.

In response to a federal mandate, the state was awarded a one-time federal award of approximately \$500,000 through the United States Department of Transportation for the period June 2005 through September 2006, to implement an integrated case management system in pilot municipal courts. Pursuant to 49 CFR Section 384.225 (2002) all Commercial Driver's License convictions must be reported to the Commercial Driver's License Information System within ten days of conviction. The OSCA's budget request for the year ended June 30, 2006, indicates that failure to comply with this mandate by September 30, 2005, would result in the annual loss of five percent of all Federal Aid Highway Funds beginning October 1, 2007, and ten percent in each subsequent Federal Fiscal Year. The budget further provides, "...this translates to a loss of \$44 million in Federal Aid Highway Funds by fiscal year 2010". The OSCA management indicated compliance with the mandate can only be accomplished through implementation of the integrated case management system in all courts including municipal courts.

Although still in the planning stages, the costs associated with implementing the integrated case management system in the pilot courts should be used to develop a long-range plan, including cost estimates of implementing and maintaining the



system in municipal courts statewide. Such a plan is essential in providing the General Assembly with the information necessary to determine the long-term cost effectiveness of the program to the state. If it is determined that implementation of an integrated case management system in municipal courts is cost-effective and necessary, since Federal Aid Highway Funds are at risk, the OSCA should work with the General Assembly and the Missouri Department of Transportation (MoDOT) to investigate funding options.

A formal long-range comprehensive court automation plan is especially important given changes in federal and state regulations and the nature of automation. An ongoing long-range plan which is reviewed and updated annually will help ensure critical needs of the court automation program are identified and priorities are established. In addition, a long-range plan is necessary to ensure the General Assembly is aware of the state's total potential financial commitment prior to funding new features of the court automation program.

**WE RECOMMEND** the State Courts Administrator develop a formal long-range comprehensive court automation plan. The plan should be a work-in-progress and updated as necessary based on unexpected occurrences and actual costs. This plan should also be provided to the General Assembly for consideration during the overall budgeting process. In addition, to protect federal highway funds, the State Courts Administrator should work with the General Assembly and MoDOT to investigate funding options for implementation of the integrated case management system in the municipal courts.

### **AUDITEE'S RESPONSE**

*As we have discussed before, the Office of State Courts Administrator constantly engages in ongoing planning and the implementation of court automation and communicates this information with the Missouri General Assembly. Information is exchanged in public hearings, with individual members of the General Assembly, and within the organization. As we have in the past, we will continue to make every effort to keep the General Assembly informed of all present and future plans for the court automation program.*

<b>2. Fine Collection Center Monitoring</b>
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The OSCA has not routinely monitored the receipt and disbursement functions of the Fine Collection Center (FCC) contractor.

The FCC processes most traffic, conservation, and watercraft offenses for counties that voluntarily join the program. Effective April 20, 2004, the OSCA contracted with a private company to administer the FCC for the state. During the year ended June 30, 2005, the FCC collected approximately \$11 million.

The FCC Director and Accounting Specialist positions were retained by the state to oversee contractor performance and aid in policy decisions, customer service, and

enrollment functions. They routinely monitor certain aspects of contract requirements, such as accuracy of charge codes and timeliness of processing, including data entry, collection, and case disposition.

However, one area of contractor performance that is not currently being monitored is the receipt and disbursement functions of the contractor. The Accounting Specialist stated he plans to perform a review of the contractor's procedures and transactions after the contract has been in place for approximately two years. To ensure the contractor's procedures are in place and functioning as expected, formal monitoring procedures of receipts and disbursements should be developed, performed on a routine basis, and results documented.

**WE RECOMMEND** the State Courts Administrator ensure formal receipt and disbursement monitoring procedures are developed, performed on a routine basis, and adequately documented.

### **AUDITEE'S RESPONSE**

*Although formal procedures are not written to address this concern, we do have several individuals involved in monitoring the work of the FCC contractor at all levels of performance. However, we agree that more formal procedures would serve to clarify responsibilities and would be helpful in future audits.*

## FOLLOW-UP ON PRIOR AUDIT FINDINGS

## OFFICE OF STATE COURTS ADMINISTRATOR FOLLOW-UP ON PRIOR AUDIT FINDINGS

In accordance with *Government Auditing Standards*, this section reports the auditor's follow-up on action taken by the Office of State Courts Administrator (OSCA) on findings in the Management Advisory Report (MAR) of our prior audit report issued for the two years ended June 30, 2001.

Although the unimplemented recommendations are not repeated, the OSCA should consider implementing those recommendations.

### 1. Court Automation Program

The Committee on Legislative Research, Oversight Division, prepared a fiscal note associated with Senate Bill 420 with information obtained from the OSCA. The fiscal note was unclear and provided incomplete information. Although fiscal notes present financial information for only a three-year period, the fiscal impact of a long-term program such as court automation was not requested by the Oversight Division or the General Assembly. As a result, the fiscal note did not consider the long-term financial impact of the court automation program to the General Revenue Fund-State or local governments.

The costs of this program were in excess of the amounts noted when the program was first considered by the legislature. It appeared the potential total costs of this program were not documented or considered when the court automation program was initially considered and authorized by the legislature. The OSCA and Missouri Court Automation Committee needed to find a significant funding source if all benefits envisioned as a result of court automation were going to be achieved.

#### Recommendation:

The Office of the State Courts Administrator discuss with the Missouri Court Automation Committee the possibility of pursuing other sources of funding, such as increasing the court automation fee. In addition, the cost benefit to the state and local governments should be seriously considered prior to implementing and maintaining other features of a statewide court automation system. Finally, in future amendments to the court automation project, we recommend the OSCA go beyond the current requirements for fiscal notes and provide additional details as to the long-term fiscal impact of the program. This approach will ensure clear, accurate, and complete information on the amendment and will enable the legislature to review actual costs with projected costs at any future date.

#### Status:

Partially implemented. Senate Bill No. 491, First Regular Session, 93rd General Assembly, was introduced in the 2005 legislative session, which provided increased court

automation fees based upon which division a case was filed in and how a case was disposed; however, this legislation was not approved by the General Assembly. The former Director of Administration and Budget indicated fiscal notes have not been prepared for the implementation and maintenance of other features of a statewide court automation system. Although not repeated in the current MAR, our recommendation remains as stated above. See MAR finding number 1 for related comments.

2. Travel Costs

- A. An OSCA consultant did not purchase airline tickets in advance, and as a result, may have been reimbursed for excessive airfare costs during 2001. In March 2002, the OSCA revised their contractor policy to provide that contractors must purchase tickets in advance at a cost of no more than \$600, unless they obtain written approval from the State Courts Administrator.
- B. Seventeen of thirty-eight expense accounts reviewed claimed reimbursement at the maximum amount allowed for nearly all meals claimed. In addition, although the maximum amount allowed was not claimed, four other expense accounts claimed the same amount for each breakfast, lunch, and dinner.
- C. Twenty-two of thirty-one expense accounts reviewed which claimed breakfast or evening meals when leaving and/or returning to the official domicile did not indicate that an early departure or late arrival was necessary to conduct state business.
- D. Excessive lodging rates were reimbursed for out-of-state lodging.
- E. The OSCA held a retreat for 25 senior managers domiciled in Jefferson City at a resort at the Lake of the Ozarks. Meals and lodging totaled approximately \$5,700 for the two-day retreat. If the retreat had been held in Jefferson City, some costs could have been avoided, including lodging, mileage, and some, if not all, meals.

Recommendation:

The Office of the State Courts Administrator:

- A. Review all airfare reimbursement requests to ensure compliance with the updated contractor policy.
- B. Review all meal costs claimed on expense reports for reasonableness.
- C. Ensure documentation of early departure and/or late arrival is included on expense account claim forms when applicable.
- D. Develop and adopt a formal out-of-state travel policy establishing reasonable lodging rates such as those provided by federal reimbursement guidelines.

- E. Ensure expenditures are necessary for the operation of the office.

Status:

A&B. Implemented.

- C. Not implemented. Expense accounts reviewed which claimed breakfast or evening meals when leaving and/or returning to the official domicile did not indicate an early departure or late arrival. Although not repeated in the current MAR, our recommendation remains as stated above.
- D. Not implemented. A formal out-of-state travel policy has not been developed; however, out-of-state lodging costs claimed on expense accounts that we reviewed were within reasonable limits. Although not repeated in the current MAR, our recommendation remains as stated above.
- E. The former Director of Administration and Budget indicated there were no out of domicile retreats during our audit period. In addition, our review of expenditures and expense accounts revealed no such expenditures.

3. General Fixed Assets

- A. Physical inventories of general fixed assets were not conducted annually.
- B. Seventeen laptop computers, along with other hardware, were overstated in the Statewide Advantage System for Missouri (SAM II) Fixed Asset Tracker by approximately \$4,500.
- C. General fixed assets totaling approximately \$172,000 could not be traced to the SAM II Fixed Asset Tracker.

Recommendation:

The Office of the State Courts Administrator:

- A. Ensure annual physical inventories of general fixed assets are performed.
- B&C. Ensure all general fixed assets are recorded in the SAM II Fixed Asset Tracker at actual cost.

Status:

- A. Partially implemented. A physical inventory is currently being conducted, and the OSCA is attempting to resolve differences on the SAM II Fixed Asset Tracker. Once the OSCA identifies and resolves all differences and adjusts the SAM II Fixed Asset Tracker numbers for accuracy, the former Director of

Administration and Budget indicated annual physical inventories will be conducted. Although not repeated in the current MAR, our recommendation remains as stated above.

B&C. General fixed assets purchased during the two years ended June 30, 2005, that we reviewed were recorded in the SAM II Fixed Asset Tracker at actual cost.

4. Bidding Procedures

Bids were not always solicited and documentation of quotes was not always retained for various purchases made by the OSCA during the audit period.

Recommendation:

The Office of the State Courts Administrator ensure bids are solicited in accordance with the internal purchasing policy. In addition, the OSCA should retain documentation of all bids and quotes received.

Status:

For expenditures reviewed, the OSCA complied with its internal purchasing policy.

5. Agency Provided Meals

During the six months ended December 31, 2001, and the years ended June 30, 2001 and 2000, the OSCA supplied food at various events totaling approximately \$102,000, \$248,000, and \$192,000, respectively. Various expenditures were noted for food provided to state employees for which the cost per person did not appear reasonable.

Recommendation:

The Office of the State Courts Administrator develop and adopt a policy regarding state agency-provided food purchases. The policy should establish guidelines regarding maximum costs allowable and purchases that are proper and necessary for the operation of the office.

Status:

Not implemented. However, the OSCA has developed guidelines for food provided during OSCA meetings to be limited to salad and sandwiches or soup and sandwiches. In addition, for non-OSCA meetings, such as judicial colleges, the OSCA has taken steps to reduce the overall costs of the conferences by alternating the location of the meetings where the majority of the judges are domiciled. Although not repeated in the current MAR, our recommendation remains as stated above.

6. Cellular Telephones

- A. Division personnel responsible for the review and payment of cellular telephone services did not consistently review cellular usage, resulting in costs that could have been avoided.
- B. It did not appear necessary to have a cellular telephone in each OSCA vehicle. Some cellular telephones assigned to state owned vehicles had low usage. In addition, there were twenty-eight individuals assigned a cellular telephone who would have had no need for a telephone specifically assigned to a vehicle.
- C. Cellular telephone invoices were not processed in a timely manner.

Recommendation:

The Office of the State Courts Administrator:

- A. Develop procedures to ensure the most effective cellular telephone plans are selected based on actual usage by OSCA employees. In addition, the OSCA should consider whether cellular telephones with significantly low usage are necessary for the operation of the office.
- B. Consider reducing the number of cellular telephones assigned to vehicles and adopt a checkout policy for cellular telephones to be used in OSCA vehicles.
- C. Develop procedures to pay cellular telephone invoices in a timely manner.

Status:

Implemented. The OSCA developed procedures to review cellular telephone plans on a monthly basis and has reduced the number of cellular telephones. In addition, cellular telephones are no longer assigned to vehicles, and procedures have been developed to ensure invoices are paid timely.

7. Circuit Court Payroll

- A. Thirteen employees in various counties were the appointing authority and payroll designee or alternate payroll designee.
- B. The OSCA regional accounting coordinators entered personnel change authorizations, employee time worked, and leave used into the SAM II HR system for some circuit court employees. In addition, they distributed direct deposit advices or payroll checks to these employees.



Recommendation:

The Office of the State Courts Administrator:

- A. Ensure the payroll designee and appointing authority functions, where possible, are segregated in each court.
- B. Segregate the accounting and cash distribution functions for all circuit court employees.

Status:

- A. Partially implemented. Our review of payroll designees noted five courts where the appointing authority was also the payroll designee. However, the former Director of Administration and Budget contacted these courts and the appointing authorities of all five courts authorized a change in the payroll designee to remedy the problem. Although not repeated in the current MAR, our recommendation remains as stated above.
- B. Implemented. The regional accounting coordinators no longer distribute direct deposit advices or payroll checks for circuit court employees. Employees of the OSCA's Fiscal section now perform this function.

8. Information System Access Controls

The Fiscal Administrator, who was responsible for assigning and removing access rights, was not notified by the Personnel Division of staff who had terminated employment with the OSCA. As a result, SAM II IDs and access may not have always been properly removed.

Recommendation:

The Office of the State Courts Administrator require the Personnel Division to notify the Fiscal Administrator when staff terminates employment with the OSCA. The Fiscal Administrator should then immediately request removal of SAM II IDs and access rights for the terminated employee.

Status:

Implemented. Currently, when staff terminates employment with the OSCA, the SAM II Administrator is notified and subsequently requests removal of SAM II IDs and access rights through the state's Office of Administration.

9. Title IV-D Reimbursement Claims

The OSCA had not submitted Title IV-D reimbursement claims for circuit clerk activity on a timely basis.

Recommendation:

The Office of the State Courts Administrator submit Title IV-D reimbursement claims at least quarterly as required by the Child Support Cooperative Agreement.

Status:

Implemented. In March 2002, the OSCA began submitting reimbursement claims quarterly for personnel expenses related to OSCA employees and monthly for Circuit Court employees and Family Court Commissioners.

HISTORY, ORGANIZATION, AND  
STATISTICAL INFORMATION

## OFFICE OF STATE COURTS ADMINISTRATOR HISTORY, ORGANIZATION, AND STATISTICAL INFORMATION

The Office of State Courts Administrator (OSCA) is responsible for providing administrative and technical support to the courts of Missouri. The duties and responsibilities assigned to the state courts administrator are broad in scope and relate to all levels of the state court system.

Since the appointment of the first state courts administrator in 1970, the office has been responsible for providing technical assistance, personnel and management services, education and training programs, data processing and systems analysis, administrative procedure evaluation, compilation of statistics, and case processing support to the courts. OSCA also assists courts in developing and implementing court improvement projects in such areas as child abuse and neglect, juvenile services, family preservation, criminal history reporting, crime victims' rights, mediation services, alcohol and drug abuse treatment and prevention, and the implementation of time standards for case disposition. Since 1994, the office has worked on the Statewide Court Automation program which is a multi-year plan to automate all courts in the state. The office is organized into five divisions: Administration and Budget, Court Services, Information Technology, Juvenile and Adult Court Programs, and Judicial Department Education.

### ADMINISTRATION AND BUDGET

Administration and Budget staff provide administrative services essential to office management and maintain programs developed to assist the judiciary in a variety of areas. The budget section compiles and organizes the judicial branch's annual state appropriation request. It prepares fiscal notes for proposed legislation that affects the judicial system, and provides support to the Supreme Court's Circuit and Appellate Court Budget committees. Other sections include personnel, fiscal, contract, and sponsored programs.

Administration and Budget staff also provides legislative support to the judiciary, performs office management functions for OSCA, and handles a wide array of requests for information from the legislature, governor's office, other public officials, and the general public.

### COURT SERVICES

The Court Services Division acts as a service bureau for all court personnel statewide by providing direct assistance to trial courts in a number of areas including: developing procedures related to case processing and financial management; developing and updating procedural handbooks on case processing for court clerks; providing on-site case processing reviews, examining administrative and financial procedures to make recommendations for improved efficiency; managing statewide debt collection efforts, and collecting criminal history dispositions data for the criminal records repository maintained by the Missouri State Highway Patrol.

The advent of the Statewide Court Automation Program has created a major new responsibility within the division. Court Services staff worked closely with the software provider and court staff from around the state to “customize” the software and continually monitor changing practices and legal requirements over time so that the software is revised as necessary. Court Services staff works with the courts prior to implementing automation by assisting the courts with preparation for computerized case management and financial accounting.

The Statistics Section is responsible for compiling and utilizing caseload information from the trial courts.

## INFORMATION TECHNOLOGY

The Information Technology (OSCA-IT) division provides information technology management support for all Missouri courts and OSCA. The division is responsible for technical analysis, design, development, implementation, maintenance, quality assurance, and technical support for the systems that Missouri courts require as a business need.

In 1994, Missouri Revised Statutes Section 476.055, RSMo established a statewide court automation program and some offset funding with a \$7 per-case court fee. The Program oversight was given to the Missouri Court Automation Committee, under the Supreme Court. OSCA-IT has been actively involved with the Court Automation Committee in implementing this project.

OSCA-IT also provides additional technical support for the office in the areas of judicial transfer, fiscal notes and inventory control. The staff develops special reports to assist in workload analysis, judicial research and special legislative requests.

## JUVENILE AND ADULT COURT PROGRAMS

In 1997, the 89<sup>th</sup> General Assembly approved the creation of the Division of Juvenile and Adult Court Programs within OSCA. Early division efforts centered on providing continued education and training standards for juvenile court personnel, developing a standardized assessment and classification system that recommends graduated sanctions and services aimed at reducing juvenile offender recidivism, and evaluating the effects of tighter protective custody timelines in child abuse and neglect cases.

Division projects include expanding communication networks, better assessment of juvenile offenders, and better evaluation of offender data through automated systems. In addition, the division is also working to establish alternative treatment programs, and works on child abuse and neglect cases, foster care and adoption, divorce education programs for parent and children and alternative dispute resolution such as mediation in child custody and visitation disputes, child abuse and neglect cases, and in juvenile victim/offender situations to improve court services to the public. The success of adult drug courts as an alternative treatment to substance abuse problems has led to the development of juvenile and family drug courts.

The division provides additional technical assistance to courts relating to security and Americans with Disabilities Act Access, assisting in disaster preparedness, certifying Spanish speaking interpreters for the courts, and locating and providing services for non-English speaking parties and those parties and customers covered by the Americans with Disabilities Act.

## JUDICIAL DEPARTMENT EDUCATION

The Division of Judicial Department Education is responsible for coordinating education services for almost four thousand state court employees and judges. These services are designed to ensure the courts have access to a highly skilled, professional workforce that is technologically literate, conversant with practices that aid in the internal management of the courts, oriented towards a high level of customer service, and forward thinking in improving that level of service in a rapidly changing environment.

The Division is responsible for implementing the policies and programs established by the Coordinating Commission for Judicial Department Education and its six education committees. The Education Division consists of three service delivery areas: Continuing Education, Automation Training, and Education Technology. The Continuing Education Section offers a broad range of education courses and certificate programs for court personnel.

The Automation Training Section, working in conjunction with the Missouri Court Automation program, designs, coordinates and delivers a comprehensive court automation training program.

The Education Technology Section is responsible for developing, implementing and evaluating alternative delivery methods of educational programming through the use of technology.

## RECENT DEVELOPMENTS

Two significant changes have occurred recently within the organization. HB 600, passed in 2003, allowed the courts to engage private collection agencies to collect unpaid court costs, fees, and fines. There was an estimated \$23.4 million in unpaid costs and fees subject to collection in 2004. Working with the Circuit Court Budget Committee, OSCA combined the circuit court debt collection process and the Fine Collection Center (originally a part of OSCA) in a privatization bid which will save the state approximately \$170,000 annually and reduce the state workforce by 23 FTE.

In another effort to cut expenses, the office began, in FY 2005, to contract transcription services and reduced the number of FTE required to fulfill its statutory mandate to transcribe certain court proceedings.

Michael Buenger currently serves as State Courts Administrator.

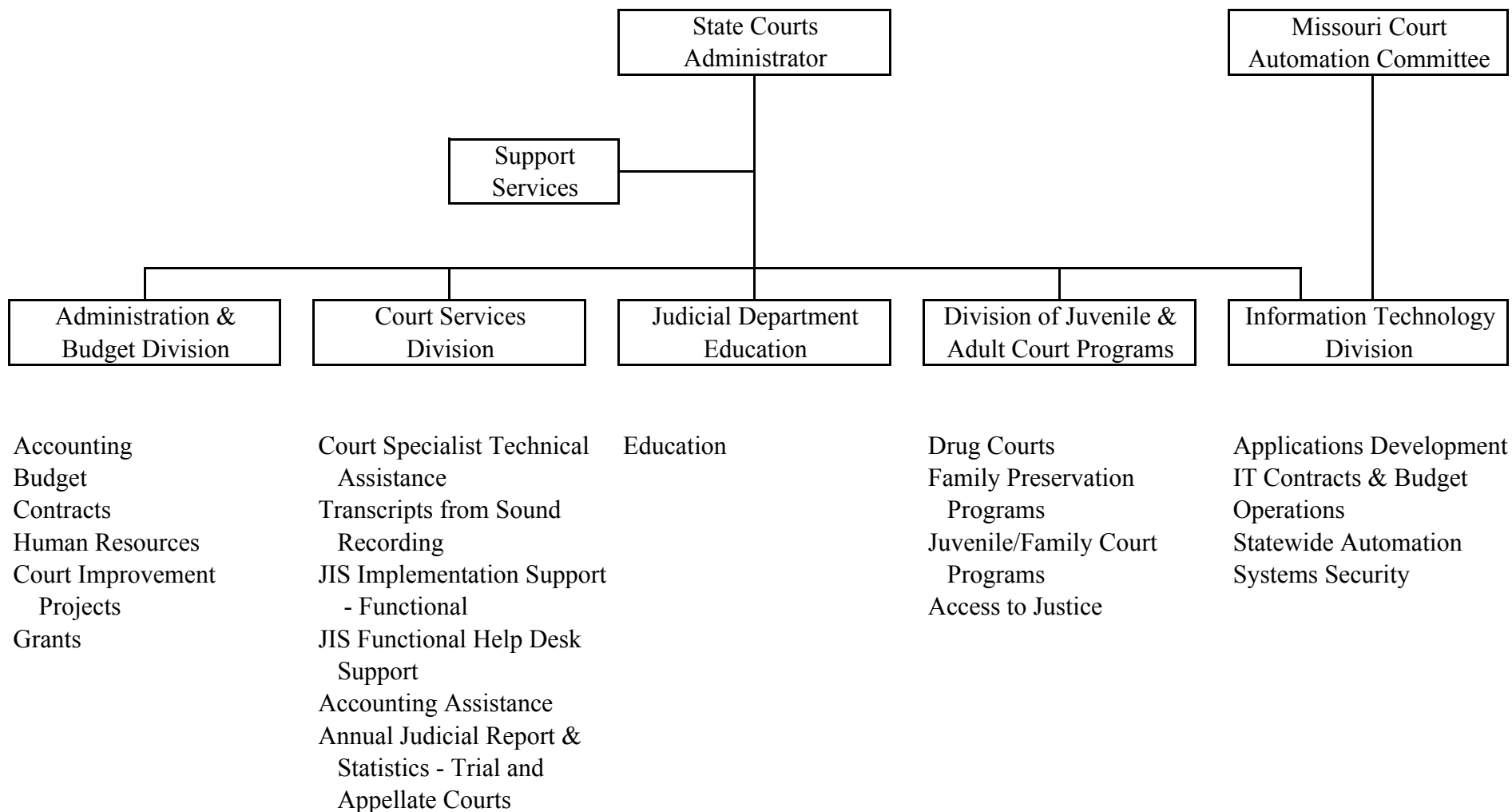
The Office of State Courts Administrator included 71.0 FTE (full time equivalents) at June 30, 2005. The court administrator also supervises 43.25 FTE in various federally funded programs and 1 FTE funded by the Basic Civil Legal Services Fund, and provides administrative support for 100 FTE of the Statewide Court Automation Program and 13 FTE of the Judicial Education and Training Program under the direction of the Missouri Court Automation Committee and the Judicial Education and Training Committee, respectively.

In addition to administering the payroll for all regular employees of its own office, the State Courts Administrator administered the payroll for the following state employees at June 30, 2005:

<u>Description</u>	<u>Number</u>
Circuit court judges	136
Presiding judges' secretaries	45
Circuit court clerks	116
Associate division judges	187
Probate, deputy probate, family court and drug court commissioners	33
Court reporters	136
Juvenile officers	10
Circuit court classified personnel	<u>2,244</u>
Total	<u>2,907</u>

An organization chart follows:

OFFICE OF STATE COURTS ADMINISTRATOR  
 ORGANIZATION CHART  
 JUNE 30, 2005





## Appendix A

OFFICE OF STATE COURTS ADMINISTRATOR  
COMPARATIVE STATEMENT OF APPROPRIATIONS AND EXPENDITURES  
(INCLUDES CIRCUIT COURT)

	Year Ended June 30,					
	2005			2004		
	Appropriation Authority	Expenditures	Lapsed Balances	Appropriation Authority	Expenditures	Lapsed Balances ***
<b>GENERAL REVENUE FUND</b>						
State Courts Administration Expense and Equipment	\$ 616,013	615,843	170	616,013	584,816	31,197
State Courts Administration Personal Service	2,971,344	2,969,675	1,669	3,066,830	3,062,273	4,557
Court Automation Personal Service	2,811,008	2,809,742	1,266	2,731,808	2,727,967	3,841
Judges Salaries Circuit *	14,949,300	14,949,229	71	14,912,000	14,811,908	100,092
Associate Judges Salaries *	20,624,800	20,624,800	0	20,736,000	20,717,739	18,261
Circuit Personnel Personal Service *	72,869,440	72,869,277	163	69,910,964	69,855,989	54,975
Court Automation Expense and Equipment	4,348,499	4,348,499	0	4,348,499	4,337,832	10,667
Circuit Personnel Expense and Equipment *	1,856,082	1,854,693	1,389	3,174,000	2,899,647	274,353
Entitlement Programs Expense and Equipment *	1,551,918	1,551,918	0	0	0	0
New Judges Salary	40,000	40,000	0	0	0	0
Total General Revenue Fund	122,638,404	122,633,676	4,728	119,496,114	118,998,171	497,943
<b>THIRD PARTY LIABILITY COLLECTIONS FUND</b>						
Circuit Personnel Personal Service	228,873	155,223	73,650	219,873	148,564	71,309
Circuit Personnel Expense and Equipment	128,039	99,392	28,647	128,039	124,116	3,923
Total Third Party Liability Collections Fund	356,912	254,615	102,297	347,912	272,680	75,232
<b>JUDICIARY - FEDERAL FUND</b>						
Court Improvement Project Expense and Equipment	11,736,828	2,345,966	9,390,862	11,686,908	3,056,921	8,629,987
Circuit Personnel Personal Service **	1,325,375	441,178	884,197	1,255,619	439,764	815,855
Circuit Personnel Expense and Equipment **	308,805	0	308,805	289,661	0	289,661
Drug Courts Expense and Equipment	1,125,000	1,125,000	0	1,125,000	1,106,877	18,123
Judicial Training and Education Expense and Equipment	225,000	3,008	221,992	0	0	0
Court Improvement Project Personal Service	1,922,169	1,408,447	513,722	1,870,269	1,443,559	426,710
Total Judiciary - Federal Fund	16,643,177	5,323,599	11,319,578	16,227,457	6,047,121	10,180,336
<b>STATEWIDE COURT AUTOMATION FUND</b>						
Court Automation Personal Service	1,414,819	1,213,977	200,842	1,374,019	1,281,836	92,183
Court Automation Expense and Equipment	3,595,125	2,536,413	1,058,712	3,333,900	3,049,771	284,129
Total Statewide Court Automation Fund	5,009,944	3,750,390	1,259,554	4,707,919	4,331,607	376,312
<b>MISSOURI COURT APPOINTED SPECIAL ADVOCATE FUND</b>						
Court Automation Special Advocate Programs	200,000	80,041	119,959	200,000	101,332	98,668
Total Missouri Court Appointed Special Advocate Fund	200,000	80,041	119,959	200,000	101,332	98,668
<b>CRIME VICTIMS COMPENSATION FUND</b>						
Court Automation Expense and Equipment	632,000	632,000	0	352,000	351,999	1
Total Crime Victims Compensation Fund	632,000	632,000	0	352,000	351,999	1
<b>DRUG COURT RESOURCES FUND</b>						
Drug Courts Expense and Equipment	1,985,185	1,946,002	39,183	2,235,185	1,538,935	696,250
Drug Courts Personal Service	216,115	49,436	166,679	211,315	68,646	142,669
Total Drug Court Resources Fund	2,201,300	1,995,438	205,862	2,446,500	1,607,581	838,919

## Appendix A

OFFICE OF STATE COURTS ADMINISTRATOR  
COMPARATIVE STATEMENT OF APPROPRIATIONS AND EXPENDITURES  
(INCLUDES CIRCUIT COURT)

	Year Ended June 30,					
	2005			2004		
	Appropriation Authority	Expenditures	Lapsed Balances	Appropriation Authority	Expenditures	Lapsed Balances ***
DEBT OFFSET ESCROW FUND						
Debt Offset	500,000	263,676	236,324	100,000	68,531	31,469
Total Debt Offset Escrow Fund	500,000	263,676	236,324	100,000	68,531	31,469
BASIC CIVIL LEGAL SERVICES FUND						
Basic Civil Legal Services Court Improvement Projects - Personal Service	28,044	24,482	3,562	21,033	0	21,033
Basic Civil Legal Services Court Improvement Projects - Expense and Equipment	300	0	300	5,266	0	5,266
Total Basic Civil Legal Services Fund	28,344	24,482	3,862	26,299	0	26,299
STATE COURT ADMINISTRATION REVOLVING FUND						
State Courts Administration Expense and Equipment	30,000	11,958	18,042	30,000	18,464	11,536
Circuit Personnel Expense and Equipment **	150,000	119,851	30,149	140,000	77,602	62,398
Total State Court Administration Revolving Fund	180,000	131,809	48,191	170,000	96,066	73,934
JUDICIARY EDUCATION AND TRAINING FUND						
Judicial Training and Education Personal Service	560,554	455,586	104,968	614,111	428,312	185,799
Judicial Training and Education Expense and Equipment	1,114,522	686,197	428,325	1,757,698	704,742	1,052,956
Total Judiciary Education and Training Fund	1,675,076	1,141,783	533,293	2,371,809	1,133,054	1,238,755
DOMESTIC RELATIONS RESOLUTION FUND						
Domestic Relations	500,000	329,831	170,169	500,000	398,280	101,720
Circuit Personnel Personal Service **	71,544	62,501	9,043	82,500	60,335	22,165
Circuit Personnel Expense and Equipment **	20,856	20,856	0	50,000	20,854	29,146
Total Domestic Relations Resolution Fund	592,400	413,188	179,212	632,500	479,469	153,031
FINE COLLECTIONS CENTER INTEREST REVOLVING FUND						
Circuit Personnel Expense and Equipment	0	0	0	25,000	0	25,000
Total Fine Collections Center Interest Revolving Fund	0	0	0	25,000	0	25,000
Total All Funds	\$ 150,657,557	136,644,697	14,012,860	147,103,510	133,487,611	13,615,899

\* In fiscal years 2005 and 2004, the Office of State Courts Administrator was allowed partial flexibility to transfer excess General Revenue Fund Personal Service appropriations to Expense and Equipment. The fiscal year 2005 appropriations presented for Judges Salaries Circuit, Associate Judges Salaries, Circuit Personnel Personal Service, Circuit Personnel Expense and Equipment, and Entitlement Programs Expense and Equipment include the transfers made during the fiscal year. The fiscal year 2004 appropriations presented for Judges Salaries Circuit, Circuit Personnel Personal Service, and Circuit Personnel Expense and Equipment include the transfers made during the fiscal year.

\*\* House Bill No. 613, First Regular Session, 92nd General Assembly, (Section 476.058, RSMo), authorized the Circuit Courts to use the State Court Administration Revolving Fund to collect and pay for the preparation of court transcripts. The bill was passed after the budget process was complete; therefore, the Circuit Courts did not have adequate spending authority to meet their statutory requirement. In addition, the Family Court Commission approved the establishment of two Alternative Dispute Resolution FTE as a pilot program at the end of fiscal year 2003. The Family Court Commission approval came too late in the fiscal year 2004 budget process to establish the spending authority in the Domestic Relations Resolution Fund. Therefore, the state's Office of Administration approved the transfer of empty spending authority from the Federal Fund to the State Court Administration Revolving and Domestic Relations Resolution Funds to provide adequate spending authority.

\*\*\* The fiscal year 2004 lapsed balances included the following withholdings made at the Governor's request

## THIRD PARTY LIABILITY COLLECTIONS FUND

Circuit Personnel Personal Service \$ 70,000

Appendix B

OFFICE OF STATE COURTS ADMINISTRATOR  
COMPARATIVE STATEMENT OF EXPENDITURES  
(FROM APPROPRIATIONS) INCLUDES CIRCUIT COURT

	Year Ended June 30,				
	2005	2004	2003	2002	2001
Salaries and wages	\$ 118,031,851	115,046,893	115,446,782	115,696,578	114,194,560
Travel, in-state	1,246,542	1,218,660	1,610,639	1,718,056	1,753,913
Travel, out-of-state	25,513	19,228	58,759	202,327	165,680
Fuel and utilities	181,967	570,945	139,844	139,500	117,810
Supplies	355,076	335,503	486,059	410,399	0
Administrative supplies	0	0	0	0	347,221
Repair, maintenance, and usage supplies	0	0	0	0	37,156
Specific use supplies	0	0	0	0	16,895
Professional development	106,687	157,574	363,519	353,618	558,365
Communication services and supplies	2,350,828	2,135,510	1,927,235	1,194,699	1,526,464
Business services	0	0	0	0	272,312
Professional services	6,547,572	6,691,861	6,318,326	6,064,589	7,089,099
Housekeeping and janitorial services	71,167	54,159	68,714	68,744	61,129
Maintenance and repair services	3,683,041	3,638,754	3,681,905	2,296,912	0
Equipment maintenance and repair services	0	0	0	0	1,857,383
Transportation maintenance and repair services	0	0	0	0	3,321
Computer equipment	2,112,558	2,868,260	2,784,062	3,761,436	6,648,313
Educational equipment	0	0	0	0	31,484
Electronic and photographic equipment	0	0	0	0	262,975
Motorized equipment	45,257	29,040	52,415	47,957	72,400
Office equipment	22,469	34,597	80,479	30,492	236,342
Other equipment	86,952	35,229	77,607	41,984	0
Specific use equipment	0	0	0	0	38,289
Property and improvements	5,392	11,153	53,517	15,936	77,080
Real property rentals and leases	47,839	33,385	32,173	61,511	703,856
Equipment rental and leases	10,999	35,598	21,593	31,661	0
Equipment lease payments	0	0	0	0	6,654
Building and equipment rentals	0	0	0	0	110,783
Rebillable expenses	661,961	0	29,291	929,475	361,898
Refunds	263,704	68,956	590	75	0
Miscellaneous expenses	118,049	156,026	230,256	194,086	250,181
Program distributions	669,273	346,280	500,284	497,726	80,919
Total Expenditures	\$ 136,644,697	133,487,611	133,964,049	133,757,761	136,882,482

Appendix C

OFFICE OF STATE COURTS ADMINISTRATOR  
COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY THE FINE COLLECTION CENTER

County	Year Ended June 30,							
	2005		2004		2003		2002	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas
Andrew	\$ 124,369	1,203	\$ 127,859	1,202	\$ 132,378	1,372	\$ 119,675	1,2
Atchison	260,894	1,858	245,660	1,649	218,051	1,600	1,974	
Audrain	79,832	729	100,458	955	87,191	742	68,444	6
Barry	63,850	750	68,261	798	65,458	766	86,843	9
Barton	68,132	652	81,205	756	55,715	574	37,802	4
Benton	125,420	1,242	229,049	2,386	214,967	2,446	211,715	2,2
Bollinger	8,255	110	6,820	77	6,549	95	11,418	2
Boone	464,365	4,414	366,819	3,734	360,769	3,839	327,637	3,3
Buchanan	205,340	1,821	176,550	1,647	231,559	2,308	230,398	2,3
Butler	133,693	1,579	118,520	1,520	97,383	1,198	141,195	1,7
Caldwell	48,074	483	47,186	490	57,923	648	50,750	5
Callaway	185,481	1,854	173,573	1,746	185,663	1,884	144,870	1,4
Camden	86,893	891	23,294	253	N/A	N/A	N/A	1
Cape Girardeau	115,159	1,278	155,146	1,544	148,726	1,654	120,898	1,3
Carroll	831	12	N/A	N/A	N/A	N/A	N/A	1
Cass	377,649	3,071	362,147	2,484	273,832	2,156	237,810	2,0
Chariton	58,019	662	35,936	431	N/A	N/A	N/A	1
Christian	96,258	1,128	89,842	519	N/A	N/A	N/A	1
Clay	N/A	N/A	N/A	N/A	328,564	2,622	175,824	1,3
Cole	147,081	1,453	115,665	1,166	92,802	971	47,165	5
Cooper	96,115	862	82,772	759	107,398	1,094	121,924	1,1
Crawford	97,942	1,006	86,216	962	82,114	924	97,245	1,0
Dekalb	36,454	406	41,813	429	45,880	483	43,409	4
Dent	46,724	617	52,475	665	55,181	730	44,361	5
Douglas	847	8	N/A	N/A	N/A	N/A	N/A	1
Dunklin	\$ 64,242	608	\$ 69,437	664	\$ 56,269	598	\$ 39,683	4

Appendix C

OFFICE OF STATE COURTS ADMINISTRATOR  
COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY THE FINE COLLECTION CENTER

County	Year Ended June 30,							
	2005		2004		2003		2002	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas
Franklin	785,648	5,485	635,495	4,534	516,706	3,700	521,817	3,9
Gasconade	53,201	559	41,642	385	32,880	343	3,915	
Greene	468,478	3,903	296,721	2,517	N/A	N/A	N/A	1
Henry	135,907	1,391	147,576	1,751	175,179	2,079	148,876	1,6
Holt	143,523	1,265	145,269	1,314	147,654	1,409	123,341	1,1
Howard	20,979	207	19,991	236	19,099	261	13,812	1
Iron	24,321	403	54,371	742	28,965	272	25,030	3
Jasper	183,284	1,925	176,798	1,848	123,618	1,311	92,898	1,0
Johnson	192,779	1,925	60,224	471	N/A	N/A	N/A	1
Knox	1,464	14	N/A	N/A	N/A	N/A	N/A	1
Laclede	161,677	1,598	197,821	1,819	110,850	1,146	133,351	1,4
Lafayette	1,240,414	7,442	1,165,780	7,303	1,099,863	7,769	827,612	6,0
Lawrence	88,556	941	103,353	1,098	89,591	1,038	66,569	7
Lewis	42,592	434	N/A	N/A	N/A	N/A	N/A	1
Lincoln	154,449	1,711	187,873	1,953	210,369	2,198	192,127	1,9
Linn	104,995	1,009	91,747	886	65,695	707	N/A	1
Macon	136,003	1,299	108,318	1,051	78,281	801	114,117	1,3
Madison	110,025	1,303	141,418	1,578	104,448	1,051	89,480	9
McDonald	102,381	962	87,496	854	54,285	532	N/A	1
Mississippi	140,537	824	127,964	865	140,636	980	141,338	1,0
Monroe	14,721	138	N/A	N/A	N/A	N/A	N/A	1
Montgomery	57,747	694	41,893	457	54,104	640	59,261	7
New Madrid	89,966	896	139,713	1,268	49,608	511	N/A	1
Newton	567,149	3,679	523,013	3,408	165,747	1,557	2,591	
Nodaway	\$ 190,171	2,079	\$ 171,571	1,802	\$ 131,886	1,564	\$ 130,551	1,6
Oregon	35,170	381	31,940	367	4,895	60	N/A	1

## Appendix C

OFFICE OF STATE COURTS ADMINISTRATOR  
COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY THE FINE COLLECTION CENTER

County	Year Ended June 30,							
	2005		2004		2003		2002	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas
Osage	37,005	426	26,652	294	21,915	238	15,131	1
Ozark	701	8	N/A	N/A	N/A	N/A	N/A	1
Perry	169,346	1,409	164,469	1,417	95,852	868	94,555	8
Phelps	185,978	1,874	168,868	1,799	152,805	1,632	152,651	1,6
Pike	97,796	1,003	87,892	851	38,398	380	N/A	1
Polk	144,511	1,167	137,596	1,028	79,930	702	69,806	6
Ralls	N/A	N/A	22,426	231	48,334	536	39,636	4
Randolph	209,156	1,998	131,821	1,405	90,366	931	89,316	1,0
Ray	1,373	12	N/A	N/A	N/A	N/A	N/A	1
Ripley	44,147	614	44,656	659	32,719	498	23,671	3
Saline	143,557	1,393	93,481	1,080	73,903	869	84,431	1,0
Shannon	52,394	665	59,490	660	44,978	528	40,634	4
Shelby	48,014	517	36,789	388	24,568	300	33,043	4
St. Charles	796,574	5,507	648,256	4,885	534,479	4,490	547,798	4,4
St. Francois	174,410	1,576	152,900	1,312	158,914	1,397	124,853	1,2
Ste. Genevieve	134,692	1,169	133,705	1,196	105,478	977	104,254	1,0
Stone	45,055	627	46,818	594	6,885	110	N/A	1
Sullivan	63,768	708	N/A	N/A	N/A	N/A	N/A	1
Taney	113,641	1,184	1,542	21	N/A	N/A	N/A	1
Vernon	59,705	587	57,922	637	48,231	511	46,250	5
Warren	199,637	1,806	135,872	1,154	83,373	781	N/A	1
Washington	53,875	517	56,623	502	42,470	421	43,926	4
Wayne	43,140	532	72,591	980	38,847	514	28,018	3
Webster	\$ 73,612	785	\$ 78,805	807	\$ 59,539	772	\$ 84,604	9
Wright	101,393	995	77,508	845	11,249	143	N/A	1
	<u>\$ 11,231,536</u>	<u>98,243</u>	<u>\$ 9,991,372</u>	<u>88,088</u>	<u>\$ 8,101,964</u>	<u>76,231</u>	<u>\$ 6,670,303</u>	<u>64,6</u>

## Appendix C

### OFFICE OF STATE COURTS ADMINISTRATOR COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY THE FINE COLLECTION CENTER

County	Year Ended June 30,							
	2005		2004		2003		2002	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas

Note: The numbers presented above may not be comparable between fiscal years. The counties joined the Fine Collection Center at various times. The N/A listed for total collections and total guilty pleas in fiscal years 2002, 2003, or 2004 represent counties which joined Fine Collection Center in a subsequent fiscal year. In addition, the N/A listed for total collections and total guilty pleas for Clay and Ralls Counties represent counties in which newly elected judges made the determination to withdraw from the Fine Collection Center.